

EXAMINATION PLANNING WORKPROGRAM

CHAPTER 3WP

(FILE NAME ON DISK #3 = IS-WP#02.WPD)

Comments

This section is intended to assist the examiner in planning the examination. It provides an overview of the nature and extent of information systems activities being performed by and for the institution. This document will be included in the workpapers. The examiner must:

1. Coordinate with appropriate agency personnel any preliminary materials, procedures, or other documentation that should be reviewed or developed for the examination. Develop and mail examination request/first day letter and review any material received about the institution.
2. Review the following matters relevant to the current examination:
 - The previous report of examination and any other reports used to monitor the condition of the institution and its affiliates.
 - The correspondence file, including any memorandum relevant to the current examination.
 - Audit reports and third party reviews of outside servicers when available that provide significant IS support to the institution.
 - IS rating of the institution and independent industry rating and information servicers, which may include the IS CAMEL rating, as applicable.
3. During the pre-examination, discuss with appropriate institution and data center officers and obtain current information on:
 - Important developments since the last examination (including staffing, management, and internal audit operations).
 - Significant planned or probable developments. This may include relocations, mergers, acquisitions, major system conversions, changes in hardware and software, or major contract services.
 - Important changes in the institution's policies that

affect IS.

- Additions and/or deletions to customer services.
- General level of IS support the institution receives from outside servicers, if any.

4. Determine the source of such major IS support as:

- a. In-house data center.
- b. Facilities management.
- c. Vendor.
- d. External DP servicer.

If b, c, or d is selected, provide the:

- Vendors' names.
- Applications supported.
- Operating systems.
- Types of hardware (e.g., micro, mini, mainframe).

5. Request information about the condition of a major servicer(s) who provides IS servicing to the institution.

6. If micro/mini systems are used to support significant applications, identify the type of hardware, purchased software, and the applications or functions supported.

7. Determine if the institution has significant networking/teleprocessing operations. Indicate the applications and functions supported.

8. If the institution's data center provides IS support to other financial institutions or business entities, obtain data on serviced customers. This may include:

- a. Institution name, type of institution, bank/association, or other identifying information.
- b. Name and address (city, state) of the institution.

CONCLUSIONS

10. From the materials reviewed, determine if significant changes have occurred in operations that might affect the timing, staffing, and extent of testing necessary in the examination.
11. Prepare the examination plan.
12. Assign assisting examiners to the applicable areas. Specify in the procedures of the applicable sections the level of testing anticipated.
13. Provide any additional information that will facilitate future examinations.

Examiner | Date

Reviewer's Initials